

**SUMMARY INSTRUCTIONS FOR COMPLETING THE
EMPLOYEE PERFORMANCE APPRAISAL FORMS, HRD 526, 527, 528, and 529**
(Refer to Performance Appraisal System Supervisory Manual, Revised July 2001, for more detailed information)

Section #1: • Review preprinted information for errors. Check with your Departmental Personnel Office before changing/adding information.

Section #2: *Phase I - Performance Planning, Communication of Performance Expectations/Requirements, and Goals/Projects*

- List any special goals/projects (related to employee's class of work), unless noted on other documents, to be completed during the rating period. If additional goals/projects are set during the rating period or original goals/projects are changed, discuss them with your employee at the time.
- Additional categories (i.e., "Optional" categories) may be selected if they apply to the employee's position by placing a checkmark (✓) in the appropriate boxes before meeting with the employee. Blue-collar non-supervisory workers should be rated on Performance Categories 1-5 only (i.e., "Fixed" categories), unless you strongly feel some of the "Optional" categories are applicable.
- Meet with the employee at the beginning or shortly after the start of the rating period to discuss how the PAS works. Explain the Performance Categories and your expectations/requirements to the employee. Explain how the employee can get an "Exceeds Expectations" rating.
- Inform the employee that if he/she gets a "Does Not Meet Expectations" rating in even one "Significant Category," noted by asterisk ("*"), the "Overall Rating" will be "Does Not Meet Expectations".
- Ask employee to sign.¹

Sections
#5 & 6:

Phase II - Performance Monitoring and Coaching

- Observe, monitor, and coach the employee throughout the rating period.
- Talk to the employee throughout the rating period about his/her work performance.
- Record on the Supervisor's Discussion Notes Form, HRD 529, (SDN) significant incidents of outstanding and/or substandard work performance. If the notes describe performance problems/deficiencies, be sure to follow the steps in the PAS Supervisory Manual under "Documentation." Discuss these notes with the employee and ask him/her to initial the form.¹ Give the employee a copy of any notes describing performance problems/deficiencies.
- Encourage the employee to talk with you throughout the rating period about any job-related questions or concerns.

Sections
#3, 4, 5:

Phase III - Completion of the Appraisal

- Review the following and other relevant documents, which can help you to objectively rate the employee.
 - * Performance expectations/requirements established in Phase I, Performance Planning.
 - * Performance Categories, especially the Significant Categories of Quality & Quantity & Timeliness.
 - * Supervisor's Discussion Notes (HRD 529).
 - * Conditions beyond the employee's control that may have affected the employee's performance.
- Complete Section #3, "Overall Rating," based on the Final Ratings for the "Significant Categories."
 - * An Overall "Exceeds Expectations" rating must be supported by notes on the SDN.
 - * An Overall "Does Not Meet Expectations" may not be given unless the employee was first given a "Notice to Improve Performance" and given a reasonable period, up to three months, to bring the employee's performance to a satisfactory level.
 - * You may use the "Supervisor's Comments" column to make any general employee performance comments.
- Set up a meeting with your employee to discuss the rating.
 - * Encourage feedback from your employee.
 - * Allow the employee to make written comments or a rebuttal on a separate sheet.
 - * Have the employee sign Section #4.¹
- Begin Phase I again for the next rating period.
- Give the employee a copy of the appraisal forms after the Reviewing Officer and the Appointing Authority sign the form.

¹ In phases I, II, & III, if the employee does not wish to sign/initial the form, note: "Employee does not wish to sign/initial." You may ask a witness to date/sign, if necessary. Be careful the witness does not see confidential information.